

Memorandum

To: District Deputy Directors, Planning

Date: May 18, 2001

File:

From: **DEPARTMENT OF TRANSPORTATION**
Division Of Transportation Planning

Subject: 2000/01 Grant Approvals Federal Highway Administration (FHWA) – State Planning and Research (SP&R) – Partnership Planning and Federal Transit Administration (FTA) Section 5313(b)

The grant proposals submitted by you on behalf of the planning agencies within your region have been reviewed and evaluated. This memo applies only to the two discretionary grant fund sources administered by Office of Regional and Interagency Planning (ORIP). These grants are the FHWA SP&R Partnership Planning and the FTA Section 5313(b) elements: Transit Technical Planning Assistance, Statewide Planning Studies and Transit Professionals Development. The funding ratio for these Fiscal Year (FY) 2000/01 funds is 80 percent federal funds with a 20 percent mandatory local match.

CONDITIONALLY APPROVED FOR FUNDING:

District 1

Mendocino Council of Governments – 20-Year Railroad Transportation Development Plan (Phase 1) – FHWA Partnership Planning \$106,500. This proposal is a study of the long-term feasibility and impact of rail service along the Marin, Sonoma, Mendocino, and Humboldt County's transportation corridor.

Mendocino Council of Governments – System Wide Ridership Survey – FTA Section 5313(b) \$24,000. Conduct a countywide ridership survey of all MTA fixed routes, intra-community routes, inter-city, inland and coastal routes, and the three dial-a-Ride services, to determine current ridership demographics and collate statistics into a database to build historical information to be used for future transit planning.

District 3

Sacramento Area Council of Governments - Development of a New Regional Travel Demand Model – FHWA Planning Partnership \$75,000. Development of a new activity based model will be capable of evaluating a broader range of transportation policy issues than the current model.

Placer County Transportation Planning Agency – SR 49 Bypass Corridor Study (phase 2, Public Outreach Program) – FHWA Planning Partnership \$22,200. A comprehensive public

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outreach program designed to develop a consensus on an alternative connection between the current SR 49 and I-80 in northern Placer County.

Sierra County Transportation Commission – Sierra County Short-Range Transit Plan – FTA Section 5313(b) \$24,000. Prepare a five-year short-range transit plan for the County of Sierra, including the incorporated City of Loyalton.

Nevada County Transportation Commission – Western Nevada County 5-year Transit Development Plan – FTA Section 5313(b) \$24,000. Prepare a plan that will address service needs for citizens living in the rural foothill area (Grass Valley/Nevada City region).

Nevada County Transportation Commission – Eastern Nevada County 5-year Transit Development Plan – FTA Section 5313(b) \$20,000. Prepare a plan that will address service needs for citizens living in the rural mountainous area (Truckee region).

El Dorado County Transportation Commission – Long-Range Transit Plan for El Dorado County 2000 – FTA Section 5313(b) \$20,000. Update the existing long-range transit plan prepared for El Dorado County in 1995.

District 4

Santa Clara University – Major Issues in Transit Connections to Large Airports – FTA Section 5313(b) \$53,542. Produce a final report to be distributed to participating airports, transit agencies, Caltrans, and FTA, inclusive of a comprehensive analysis of the impacts and/or benefits resulting from increasing transit/rail services to existing airports as compared to building new airports with transit/rail services.

District 5

San Luis Obispo Council of Governments – North County Regional Air Service Analysis – FHWA Planning Partnership \$32,000. Prepare a regional air service analysis for northern San Luis Obispo County and southern Monterey County to ascertain the market demands for scheduled air carrier service in/out of the Paso Robles Municipal Airport. This multi-regional planning study of statewide benefit.

Santa Barbara County Association of Governments – Comprehensive Regional Commuter Transit Plan for South Coast of Santa Barbara County – FTA Section 5313(b) \$40,000. Create a comprehensive regional commuter transit plan that would focus on commuter transit routes primarily travel on Santa Barbara County's South Coast, as well as inter-regional commuter service between Santa Barbara and Ventura.

San Luis Obispo Council of Governments – Coordinated Transit Facility Feasibility Study- FTA Section 5313(b) \$32,000. Prepare a study to determine whether sharing transit operations, maintenance and dispatch facilities among two or more agencies will help to improve the efficiency of the participating systems by eliminating duplicated efforts and reducing overhead costs.

Association of Monterey Bay Area Governments – Transportation Alternatives Feasibility Study for Rural South Monterey – FTA Section 5313(b) \$20,000. Assess the utility and fiscal feasibility of transportation alternatives that improve the mobility of rural South Monterey county residents.

District 6

Madera County Transportation Commission – Short-Range Transit Development Plan – FTA Section 5313(b) \$25,600. Develop a comprehensive “Short-Range Transit Development Plan” for Madera County.

Kern Council of Governments – Regional Rural Transit Strategy – FTA Section 5313(b) \$50,000. Develop a strategic plan for public transit serviced in the non-urbanized areas of Kern County.

Council of Fresno County Governments – Comprehensive Rural Transit Marketing Plan (CRTMP) – FTA Section 5313(b) \$28,000. Prepare a CRTMP for services provided by the Fresno County Rural Transit Agency.

District 7

Southern California Association of Governments – Community and Environmental Transportation Acceptability Process (CETAP) - FHWA Planning Partnership \$532,000. Prepare an element of Riverside County’s Integrated Planning effort that will focus on the identification of new transportation corridors and systems to accommodate growth in the region and improve inter- and intra- traffic flow.

Southern California Association of Governments – Access to Employment Centers: An Assessment of Transit Service in Los Angeles County - FTA Section 5313(b) \$40,000. Analyze the level of connectivity between residential concentrations of labor population and the various fragmented employment centers.

District 10

San Joaquin County Council of Governments – Port of Stockton/Rough and Ready Island Access Study - FHWA Planning Partnership \$80,000. Develop an access plan for the Port of Stockton that enhances its function as an international port critical to statewide goods movement.

Merced County Association of Governments – Yosemite Area Regional Transportation System Demonstration Project Evaluation and Update of the Transit Service Plan. – FTA Section 5313(b) \$150,000. Initiate a demonstration project that will provide public transportation access to Yosemite National Park and coordinate transportation planning activities for the Yosemite region.

Merced County Association of Governments – Alternative Fuels Study for the Merced County Transit System – FTA Section 5313(b) \$50,000. The study will evaluate and compare various alternative fuel types allowing area transit providers to make informed decisions concerning alternative fuel vehicles.

Alpine County Local Transportation Commission – Transit Needs Assessment – FTA Section 5313(b) \$10,000. A study to determine the public transportation needs for Alpine County.

San Joaquin County Council of Governments – Analysis of Future Transit Demand in the City of Manteca - FTA Section 5313(b) \$80,000. The objective of this study will be to quantitatively analyze the level of transit demand in the City of Manteca.

Merced County Association of Governments – Yosemite Area Regional Transportation System (YARTS) Mariposa GIS – FTA Section 5313(b) \$45,000. Create a GIS data layers for Mariposa County to be used in studies related to YARTS.

District 11

San Diego Association of Governments – American Red Cross, San Diego/Imperial County Chapter, Staff Training – FTA Section 5313(b) \$32,420. Enhance the standard of professional development provided by the Department of Transportation at the American Red Cross by increasing the number of staff trained by a minimum of 15 percent between June 2000 and July 2001.

Division of Mass Transportation

Caltrans Division of Mass Transportation – Transit/Paratransit Management Program – FTA Section 5313(b) \$51,200. Will provide fellowships to cover training costs for 20-35 transit managers.

Caltrans Division of Mass Transportation – Financial Management/Rural Operators Training and the Maintenance and Operations Workshops – FTA Section 5313(b) \$20,000. Training necessary for rural and small urban public transportation providers to be able to effectively plan for the operation and growth of their systems.

CONDITIONS OF APPROVAL:

The approval of these grants is conditional upon the local agencies completion of the following: 1) a revised grant application including a new scope, schedule, funding, products and budget summary, and 2) a Public Participation Plan.

Due to the late approval of the FY 2000/01 projects, four exceptions to existing procedures are allowed.

- The project completion timeline is extended to June 30, 2002.
- If the local agency desires to expend funds this FY 2000/01, the OWP/OWPA amendment deadline is extended from April 1 up to June 1, 2001.
- Federal approval of any Partnership Planning or Section 5313(b) project amended into the 2000/01 OWP will not require FHWA/FTA approval (this will not apply to projects in the 2001/02 OWP).

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- If the local agency does not wish to commence work until FY 2001/2002, this is also allowable. Federal funds can not be expended until the project is included in both the final approved OWP and OWPA for FY 2001/02.

To ensure timely processing of grant approvals we have developed three checklists to guide the districts and agencies. The first checklist is for agencies that will complete their grant in FY 2000/01 (Attachment A). Attachment B is for applicants that will begin work in FY 2000/01 and complete the project in 2001/02. The last checklist describes the process for grantees beginning and ending work only in FY 2001/02 (Attachment C).

The Goals of the Public Participation Plan are derived from consultation with the Business Transportation and Housing Agency. The Elements are consistent with Federal and State requirements, such as the Federal Planning Regulations, Title VI, Environmental Justice, Limited English Proficiency, Disadvantaged Business Enterprise, American with Disabilities Act and the Transportation Development Act. The Local Agency's response should consider each element in its response as applicable to its planning process and the particular project. The Public Participation Plan requirement is expected to be part of the actual grant application in future cycles. Elements of a Public Participation Plan are identified in Attachment D.

We ask Districts review this attached material and contact the local agencies and discuss with them these timelines and determine which option each local agency will elect. When it is determined how the local agencies in your district intend to proceed, please provide a status summary of this information to your HQ ORIP Regional Planning liaison as soon as possible. If you have any questions regarding this procedure please contact the appropriate HQ ORIP Regional Planning liaison.

John Mason	Districts 1, 2 and 5	(8-464-7809)
Stan Rubinstein	Districts 4 and 9	(8-453-2978)
Dara Wheeler	Districts 3, 6, 7, 8, 10, 11 and 12	(8-453-2355)

Sincerely,

Original signed by

Sharon Scherzinger, Chief
Office of Regional and Interagency Planning
Attachment

c: Regional Planning Seniors
Dennis A. Scovill, FHWA

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Ray Sukys, FTA

bc: Regional Planning Staff

LOCAL AGENCY/DISTRICT AND HQ ORIP APPROVAL PROCEDURES:
ANY LOCAL AGENCY INTENDING TO COMPLETE THE PROJECT THIS FY 2000/2001
AS ORIGINALLY PROPOSED WOULD HAVE TO COMPLETE THE FOLLOWING:

District

- ✓ Provide the Local Agency instructions based on this guidance, including Attachment D: Required Elements for a Public Participation Plan and an OWPA amendment form for local signature.

Local agency

- ✓ Transmit to the District the completed Public Participation Plan.
- ✓ Provide copies of the revised pages of the amended OWP (including Work Element Budget Summary), Board Resolution and signed OWPA amendment. (This may vary since some local agencies have already included the project in the approved 2000/2001 OWP, in this case only the OWPA amendment will be required).

District

- ✓ Transmit to HQ ORIP its recommendation that the Public Participation Plan is complete.
- ✓ Provide additional documentation as appropriate.
- ✓ Retain the OWPA amendment until HQ ORIP review and approval of the Public Participation Plan is completed.

HQ ORIP

- ✓ Review and approve the Public Participation Plan and ensure the other documentation is complete.
- ✓ Transmit an approval letter to local agency with copy to District.

District

- ✓ Return a copy of the Award Letter and four signed OWPA amendment forms to HQ ORIP Regional liaison.

HQ ORIP

- ✓ The HQ ORIP Regional Liaison will provide the Award Letter and the OWPA amendment forms to the HQ ORIP Fund Administrator. Once Accounting encumbers the funds, HQ ORIP Regional Liaisons will contact District.

If the local agency elects to commence expending funds in FY 2000/2001, the deadline for having both the four (4) original signed OWPA amendment forms and a copy of the Approval Letter to HQ ORIP Regional Liaison is June 1, 2001. This deadline allows a reasonable period for accounting to encumber the funds.

**ANY LOCAL AGENCY INTENDING TO COMMENCE WORK IN FY 2000/2001 OWP
AND COMPLETE WORK IN 2001/2002 OWP.**

District

- ✓ Provide the local agency instructions based on this guidance, including Attachment D and OWPA amendment forms for local signature.

Local Agency

- ✓ Revise the project application with respect to scope of work and schedule. The Scope Of Work must identify the work to be completed and funds to be expended in FY 2000/2001 and the work and funds to be completed and expended on the project in FY 2001/2002. The accuracy of this revised scope is important, as it allows the funds to be expended over two fiscal years. (Note: The revised scope must include a Public Participation Plan as the first work item to be completed and provided to District with the final FY 2000/01 invoice).
- ✓ Provide the revised application to District.

District

- ✓ Review the application for completeness.
- ✓ Forward the application to HQ ORIP.
- ✓ Retain the OWPA amendment (to be signed off after receipt of a HQ ORIP Approval Letter for the project and the local agencies amended OWP).
- ✓ Ensure correct carry-over fund amount and Scope of Work is included in the 2001/2002 OWP.

HQ ORIP

- ✓ Review and approve the revised application and Public Participation Plan also ensure the other documentation is complete, if approved.
- ✓ Transmit an Approval Letter to local agency with copy to District.

Local Agency

- ✓ Amend FY 2000/01 OWP consistent with new project scope, schedule and budget for FY 00/01, complete OWPA amendment forms and provide these to District coordinator.

District

- ✓ Return a copy of the Award Letter, the amended OWP and four (4) signed OWPA amendment forms to HQ ORIP Regional Liaison.

HQ ORIP

- ✓ The Liaison will provide the necessary portions of the package to the ORIP Fund Administrator.

Local agency

- ✓ Complete Public Participation Plan and submit to District with final invoice FY 2000/2001

District

- ✓ Review for completion and if complete transmit recommendation of approval to ORIP along with the invoice. If the Plan is not approved by ORIP, required revisions would be necessary prior to the submittal of the second invoice.

If the local agency elects to commence expending funds in FY 2000/2001 the deadline for having both the OWPA and approval letter to the ORIP fund administrator is June 1, 2001. This deadline allows a reasonable period for accounting to encumber the funds.

INVOICING INSTRUCTIONS

Invoicing the two-year projects: If the funds are to be used over two years it will be required that all invoices are provided to the HQ ORIP Fund Administrator. The HQ ORIP Fund Administrator codes the request and prepares a coversheet letter advising Accounting staff that the request is appropriate for processing and faxes this to the District. Upon receipt of the coded invoice, the District Senior Transportation Planner responsible for Regional Planning signs the invoice and faxes it along with the cover letter from HQ ORIP to Accounting for processing. The HQ ORIP Fund Administrator codes the invoice to ensure that all charges to the Consolidated Planning Grant fund are correct. Accounting has instructed its staff not to process a Request for Reimbursement unless it has a HQ ORIP Fund Administrator's confirmation cover letter.

If the FY 2001/2002 OWP has not yet been approved or adopted, the Local Agency may then revise the FY 2001/2002 OWP to include the Approved project and complete the four (4) OWPA forms and return to District with the final OWP. District will then approve and forward the OWPA's and Project Award letter to HQ ORIP Regional Liaison. The HQ ORIP Regional Liaison will provide the Approval Letter and the OWPA amendment forms to the HQ ORIP Fund Administrator.

If the local agency's approved FY 2001/2002 OWP must be amended to include the approved project, the local agency must provide the amended OWP to District and FHWA for approval. District will sign off on the four (4) OWPA amendment forms and provide a complete amendment package to HQ ORIP Regional Liaison including: amended OWP, Board Resolution, FHWA Approval Letter and the OWPA amendment forms to the HQ ORIP Fund Administrator.

**ANY LOCAL AGENCY INTENDING TO COMMENCE AND COMPLETE
THE PROJECT IN FY 2001/02.**

District

- ✓ Provide the Local Agency instructions based on this guidance, including Attachment D.

Local Agency

- ✓ Revise the project application with respect to scope of work and schedule. (Note: The revised scope must include a Public Participation Plan as the first work item to be completed and provided to District with the first invoice). Local agency will provide the revised application to District. District will forward to HQ ORIP.

HQ ORIP

- ✓ Review and approve the revised application. After approval of the revised application, a Letter of Approval will be provided to District for transmittal to Local Agency along with the OWPA or OWPA amendment form.

Local agency

- ✓ Submit the Public Participation Plan to District with the first invoice.

District

- ✓ Review for completion and recommendation to HQ ORIP. HQ ORIP will review and approve the Public Participation Plan. If HQ ORIP does not approve the Plan, any required revisions will be necessary prior to commencing any other work on the project.

HQ ORIP

- ✓ Provide Local Agency and District notification that the Public Participation Plan is approved.

If the FY 2001/2002 OWP has not yet been approved or adopted, the Local Agency may then revise the FY 2001/2002 OWP to include the Approved project and complete the four (4) OWPA forms and return to District with the final OWP. District will then approve and forward the OWPA's and Project Award letter to HQ ORIP Regional Liaison. The HQ ORIP Regional Liaison will provide the Approval Letter and the OWPA amendment forms to the HQ ORIP Fund Administrator.

If the local agency's approved FY 2001/2002 OWP must be amended to include the Approved project, the local agency must provide the amended OWP to District and FHWA for approval. District will sign off on the four (4) OWPA amendment forms and provide a complete amendment package to HQ ORIP Regional Liaison including amended OWP, Board Resolution, FHWA approval letter, and OWPA amendment forms. The HQ ORIP Regional Liaison will provide the Approval Letter and the OWPA amendment forms. The HQ ORIP Regional Liaison will provide the Approval Letter and the OWPA amendment forms to the HQ ORIP Fund Administrator.

PUBLIC PARTICIPATION PLAN ELEMENTS

Public Participation

- ✓ **Goal:** Develop and implement public participation in transportation decision-making that reflects California's demographic and cultural change.
- ✓ **Goal:** Increase emphasis on special transportation needs, particularly transit, of fast growing populations such as new immigrants, elderly, under-served and underrepresented.

General Planning Processes

- ? Has your planning process developed a demographic profile that includes identification of the locations and/or needs of socioeconomic groups and others, including low-income, minority populations, elderly, disabled, Native American communities, community based organizations and the limited English proficient? Does your planning process seek to identify the needs of the above?
- ? Does your planning process seek to make use of demographic information to examine the distributions across these groups of the benefits and burdens of transportation investments? What methods are used to identify imbalances?
- ? Does it have a data collection process to support the analysis effort?
- ? Does this analytical process seek to assess the benefit and impact distributions of transportation investments?
- ? How does the planning process respond to the analyses produced?
- ✓ **Goal:** Increase emphasis on the use of technology, particularly the Internet, for applications other than intelligent transportation systems, such as transit information.

Project Specific

- ? Does the approved project respond specifically to any of the above?
- ? Was this application for funds the result of an unmet needs process or other community input?
- ? How will the project or product be used? Who are the target groups? i.e., Users/public/decision-makers and/or others?
- ? Is there on-going public involvement as the project or product is being produced?
- ? Are there additional meetings? How are they noticed?
- ? If using focus groups, how were the participants selected? Do they include non-profit, community-based organizations, special interest groups, or others?
- ? Does your agency keep a list of participants? If so, please provide with Public Participation Plan submittal.
- ? Is follow up information provided to the participants?
- ? To whom and how will the information or products be made available?
- ? Will the products be available to other interested parties outside of your region? Who and how: mailings, Internet, other?
- ? Who will and how will the final product be evaluated. Users, public, decision-makers, and/or others?

Contract selection:

- ✓ **Goal:** To reach the broadest possible target audience with information about planning studies, grants and contract opportunities and encourage local agency recipients to subcontract with Community-Based Organizations (CBOs) when appropriate, not only for public participation, but for actual implementation of their studies.
- ✓ **Goal:** Broaden the base of organizations performing this research.
- ? If consultants are to be utilized for the project, how are they selected?
- ? How are Requests for Proposals (RFP's) advertised? Describe the process.
- ? Are opportunities for CBOs, non-profits available? (Examples: Advisory Committees, as meeting facilitators or other).
- ? Describe the requirements for submitting a proposal.
- ? Describe the sub-contracting opportunities.
- ? How does your program promote the participation of Disadvantaged Business Enterprises (DBE) consultants?
- ? Are DBE goals set, and does your program overall meet these goals? Can this project contribute to meeting these goals?